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via First Class Mail

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January 21, 2002

Box MISSING PARTS - FEE  
Assistant Commissioner for Patents  
Washington, D.C. 2031

Re: Response to Notice of Missing Parts  
U.S. Utility Patent Application Serial No. 09/933,861 in the name of Rajesh Bhatia, et al.  
for SYSTEMS AND METHODS FOR CONTEXT PERSONALIZED WEB BROWSING BASED  
ON A BROWSER COMPANION AGENT AND ASSOCIATED SERVICES;  
Our File: BIZ/01-0008

Sir:

Enclosed for filing are the following documents relating to the above-referenced utility patent application:

- Response to Notice of Missing Parts;
- Declaration for Utility or Design Patent Application (37 CFR 1.63)
- Request for Correction of Filing Receipt;
- Fee Transmittal Form;
- Credit Card Authorization form;
- Self-addressed stamped return postcard; and
- **Authorization to charge Deposit Account No. 50-1001 for any insufficient and/or additional fees which may be required to file and/or maintain the present application.**

Respectfully submitted,

Bradley M. Ganz, Esq.  
Reg. No. 34,170  
Attorney for Applicant

BMG:mda  
Enclosures

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: January 22, 2002

Signature:

  
Bradley M. Ganz

*A Professional Corporation*

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PTO/SB/17 (10-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# **FREE TRANSMITTAL for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**265.00**

**Complete if Known**

Application Number	09/933,861
Filing Date	August 20, 2001
First Named Inventor	Rajesh Bhatia
Examiner Name	N/A
Group Art Unit	N/A
Attorney Docket No.	BIZ/01-0008

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **50-1001**  
Deposit Account Name **Bradley M. Ganz**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☐ Check ☒ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)**-0-**

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**-0-**

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	\$65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	\$200.00
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**265.00**

**SUBMITTED BY**

Name (Print/Type)	Bradley M. Ganz	Registration No. (Attorney/Agent)	34,170	Telephone	503-224-2713
Signature			Date	1/22/2002	

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/933,861	08/20/2001	Rajesh Bhatia	BIZ/01-0008

022874  
BRADLEY M GANZ, PC  
P O BOX 10105  
PORTLAND, OR 97296

CONFIRMATION NO. 7426

FORMALITIES LETTER



\*OC000000006779799\*

Date Mailed: 09/24/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

*Gelila Gebreab*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/11/2002 MBERHE 00000036 09933861

01 FC:205

65.00 0P



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Receipt #5

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Rajesh Bhatia, et al.

January 22, 2002

Serial No.: 09/933,861

Group Art Unit : 2173

Filed: August 20, 2001

Examiner: Unknown

For: SYSTEMS AND METHODS FOR CONTEXT  
PERSONALIZED WEB BROWSING BASED  
ON A BROWSER COMPANION AGENT AND  
ASSOCIATED SERVICES

Attorney Docket No.: BIZ/01-0008

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Enclosed for correction is a copy of the original filing receipt for the above-identified patent application. Applicant notes that the Domestic Priority data as claimed by applicant was not included on the filing receipt. Applicant claimed the benefit of co-pending US Provisional Application No. 60/227,558, entitled "Browser Companion Architecture", filed on August 23, 2000 in Paragraph 1 of the Application.

Please correct this error by inserting the priority date of August 23, 2000 in Applicant's record, and provide me with an amended filing receipt for my file.

CERTIFICATE OF MAILING  
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: January 22, 2002

Signature:

Bradley M. Ganz

Respectfully submitted,

By

Bradley M. Ganz, Reg. No. 34,170  
Attorney for Applicant(s)  
P.O. Box 10105  
Portland, Oregon 97296  
Telephone No.: (503) 226-3641

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## UNITED STATES PATENT AND TRADEMARK OFFICE

MAR 05 2002

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/933,861	09/20/2001	2173	692	BIZ/01-0008	14	53	4

CONFIRMATION NO. 7426

022874  
BRADLEY M GANZ, PC  
P O BOX 10105  
PORTLAND, OR 97296

## FILING RECEIPT



\*OC00000006779798\*

Date Mailed: 09/24/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Rajesh Bhatia, Residence Not Provided;  
Nick Ganju, Residence Not Provided;  
Anil Kamath, Residence Not Provided;  
Prashant Kulkarni, Residence Not Provided;  
Phoumrin Tan, Residence Not Provided;

## Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted 09/24/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Systems and methods for context personalized web browsing based on a browser companion agent and associated services

## Preliminary Class

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

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